

United States Industry Coalition, Inc.

Crossing the Threshold to Success

1999-2000 Annual Report

Crossing the Threshold to Success

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Mission Statement

The United States Industry Coalition, Inc. is a non-profit association of American companies and universities who are active partners in our nation's long-term nonproliferation efforts with the former Soviet Union.

Our mission is "... to facilitate the commercialization of technologies for peaceful purposes..."

We aim to achieve this mission through the cooperative efforts of USIC members, the U.S. Department of Energy Initiatives for Proliferation Prevention program, other U.S. Government agencies, and the scientific institutes of the New Independent States.

Letter from Board Chair

October, 2000

Dear USIC Members and Colleagues:

Focus. Determination. Progress.

These three simple words capture the essence of the U.S. Industry Coalition and the major reasons for the significant accomplishments of the organization in the past year.

Since the October 1999 Annual Meeting, the "new USIC" heralded at that gathering has more than met the expectations set forth for the organization. In the past 12 months, USIC has proven to be an effective agent and a strong partner in our nation's goals of nonproliferation through technology commercialization.

Many in our USIC "family" are familiar with the difficulties faced by the organization in the recent past. As the board member charged with overseeing the reshaping and revitalizing of USIC, I have watched with tremendous personal satisfaction as it was transformed this past year into an effective, credible and influential organization.

In October 1999, I outlined five goals for USIC for the year 1999-2000. I am pleased to report on tangible results and measurable successes in each area.

Support and encourage active participation in USIC to enhance members' prospects of subsequent commercial success

Our first order of business this past year was to alert our members to the rejuvenation of USIC. We wanted members to know about our exciting new leadership and the new professional staff coming on board who were ready to assist on all phases of their Initiatives for Proliferation Prevention (IPP) projects and the challenging work of commercialization.

Through a variety of communication mechanisms — a new electronic newsletter, periodic e-mail notices, mailings of the 1998-99 Annual Report, and announcements on our homepage — USIC encouraged members to take full advantage of a range of services available to them. Emphasis was placed on reminding members to view USIC as their top resource for assistance in trouble-shooting problematic aspects of their IPP projects.

The USIC Board of Directors in collaboration with the USIC staff played a very active role throughout the year — reviewing problems, evaluating potential solutions and making recommendations to our colleagues at the Department of Energy and the National Laboratories.

As member services were strengthened, USIC simultaneously took steps in two related areas: assistance in technology commercialization and the launch of a vigorous education and outreach program.

In the first instance, in order to determine a project's commercialization potential at the outset, USIC established a formal outside review process of proposals for IPP projects. Among current IPP projects, several close to the commercialization stage were identified, and — working closely with the member companies — USIC staff presented these projects to potential sources of outside financing and arranged follow-up meetings. As a result of this effort, it appears that financing and investment will be made in some of the projects. This is a critical member service that will be expanded in the future.

In the next area, USIC started a concerted campaign to raise the organization's profile and increase understanding and awareness of the USIC-IPP program. Throughout the year, briefings and presentations on the IPP program and USIC members' projects have been made to a broad audience of current and potential supporters. This activity will also be stepped up in the months ahead.

Form effective partnerships of U.S. companies, the U.S. Department of Energy and the DOE National Laboratories

By strengthening its day-to-day working relationship with the IPP program and the National Labs, USIC is more effectively representing the interests and concerns of its member companies.

High on our agenda with IPP and the National Labs has been the need to solve long-term problems related to processing timely, tax-free payments to our NIS partners. USIC also played an ever increasing advocacy role in helping break "logjams" in the often lengthy project approval process.

As a result of the education and outreach campaign, USIC has strengthened its relationship with DOE and the National Labs by ensuring that all three are understood as equal partners in the success of the IPP program.

Operate a responsive and efficient organization

The progress USIC has made towards this particular goal is evidenced by the achievements in the first two areas. A firm foundation for effective organizational operation has been set. A small, carefully selected staff is operating to fulfill the terms of our agreement with DOE and to support our members.

A new financial management system is in place; a formal audit has been conducted and the organization was commended for its systems. This represents an initial organizational success.

After experimenting with participation in three trade shows as vehicles to promote USIC-IPP, USIC has determined to follow a course of targeted outreach to potential members and organizations for "strategic alliances."

In the next year, USIC will introduce its new corporate identity — a fresh, contemporary logo which will be incorporated into the graphic design of our homepage and will be used in all printed material representing USIC.

Play a vital role in assisting all U.S. Government nonproliferation programs

USIC is fast becoming established as a credible and important resource on technology commercialization ventures in the NIS. There is growing demand from a variety of government agencies and Cabinet departments for briefings on USIC and the IPP program. These sessions have led to ongoing conversations about potential new program partnerships with other federal agencies and private organizations.

Prominent leaders have promoted our program. In January 2000, Senator Pete V. Domenici (R-NM) singled out USIC-IPP for praise. In a letter circulated to his Capitol Hill colleagues, Sen. Domenici pointed to positive advancements in developing programs to secure existing NIS weapons technologies through the USIC-IPP program, which he termed a "strong industry/government partnership."

As recognition grows of USIC's critical — and unusual — role in advancing national security interests while promoting entrepreneurial activity for American industry with benefits to both U.S. and NIS partners, we expect new collaborative ventures to emerge which will serve to widen the avenues to technology commercialization for our members.

Meet the spirit and letter of the USIC mission

The hard work and dedicated efforts in the four areas listed above are ample evidence of our commitment to our mission ... to facilitate commercialization of technologies for peaceful purposes.

The pieces have been put into place — leadership, staffing, and well-defined programs, member services and operations. USIC members, our IPP partners and colleagues in the world of technology commercialization and nonproliferation can place confidence in our association and its commitment to its mission.

CROSSING THE THRESHOLD TO SUCCESS

USIC is crossing the threshold to success ... for our member companies, the IPP program, and for our NIS partners and our shared goals of securing a safer world.

I salute all who have contributed to the success of this past year: our members, the Board of Directors, our colleagues at DOE and the National Laboratories, and the USIC staff.

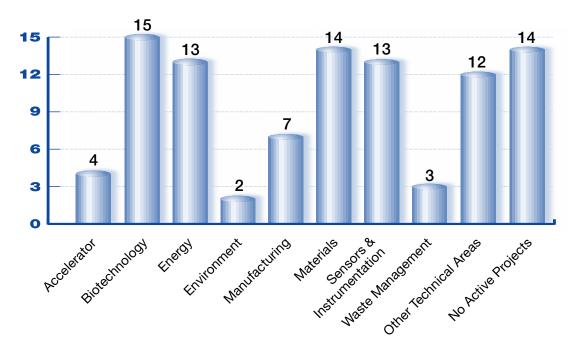
I predict the days ahead will be marked by continued success, great strides in commercialization and creative new collaborations.

Sincerely,

David C. Bell, Chair Board of Directors

David C. Bell

Member Projects By Technology Area



Report from the President & CEO

1999-2000 was remarkable for the United States Industry Coalition as the hard efforts of earlier years began to pay long-awaited dividends. Technology commercialization in the service of nonproliferation, national security and global peace has become a reality as several member projects — at long last — have reached the commercialization phase, and an even larger number of projects are moving to the brink of production, marketing and sales.

These recent achievements by USIC members are rooted in the work begun years earlier by the USIC/Department of Energy/National Laboratory team on the Initiatives for Proliferation Prevention program. Efforts carried out specifically by USIC in this past year have increased the prospects for success of the IPP program.

By maintaining a sharp focus on our mission to facilitate technology commercialization, USIC has successfully raised the profile of the IPP program, aggressively sought solutions to long-standing problems facing members and their projects, and attracted new members and colleagues to this unique and critical program.

Raising the Profile of USIC-IPP

Throughout the past year, with the encouragement of DOE, USIC has engaged in a concerted effort of education and outreach to the Congress of the United States, other government agencies, non-government organizations, universities, individual scientists in Russia and former Soviet countries, and potential industrial partners.

This campaign has led to a broader recognition of USIC's accomplishments, and has contributed to a significant improvement in the relationship of the IPP program to Congress. The willingness of Congress to consider appropriating more funds to the IPP program than requested by the Executive Branch illustrates how our efforts have reversed previous skepticism of Congress toward this program.

In our outreach and education efforts with Members of Congress and staff of key congressional committees, we have pointed out little known — yet notable — facts about the IPP program. For example, the emerging commercial success of some IPP projects has been achieved by the U.S. industry partner investing significantly more than the required dollar-for-dollar match of the DOE contribution — a fact not known by Congress and its staff. Perhaps more important, we struck a chord of resonance on Capitol Hill — time and again — whenever we discussed the prospects of creating new, high-tech jobs in the United States and in the former Soviet Union through joint ventures between American companies and Russian scientists and engineers.

Other leading government agencies and private organizations that requested the USIC briefing on the IPP approach to commercialization in the past year were:

- The UnderSecretary of State for Nonproliferation
- The Russian Coordinator's Office in the State Department
- The Science Centers' Staff in the State Department
- Agency for International Development staff in the U.S. Moscow Embassy
- The Deputy Assistant Secretary of Defense for Policy
- The Cooperative Threat Reduction staff in the U.S. Moscow Embassy
- The Department of Commerce, including BISNIS
- The Secretary of Energy's Advisory Board for Nonproliferation
- The Office of the President's Science Advisor

The USIC briefing was also presented to Russia's MINATOM, senior weapons scientists from Snezhinsk, as well as scientists from the Caucasus nations of Georgia and Armenia.

Growth, Finance and Investment

Our work has led to another dramatic, unexpected result: USIC's corporate membership grew by 20 percent in twelve months. Our new members include some of America's largest and most prestigious corporations, who have moved quickly to identify and launch bold new projects designed to create large numbers of new jobs in America and the former Soviet Union.

With the addition of a major international bank to our member roster, we are closer to our goal of being positioned to attract and secure financing for commercialization of promising projects from within USIC's member ranks. We hope to expand on this trend in the future, by forging strong new relationships with other financial institutions and venture capitalists with an interest in business in the former Soviet Union.

One consequence of growth is that the number of potential IPP projects has already outstripped available government funding. A central challenge in 2000-2001 will be to identify new capital resources to enable us in certain cases to skip government funding while still relying on DOE to perform their indispensable policy oversight efforts. This approach will give an additional, alternative direction in how we do business and will broaden the overall impact of the IPP program.

Program Partnerships

USIC recognizes the need to form positive relationships with other organizations with complementary missions. We have strengthened and increased our efforts in developing collaborative partnerships. Since we lease office space from the U.S. Civilian Research & Development Foundation, we consequently have a strong day-to-day cooperative relationship. Now that CRDF is contracting with DOE to process IPP payments to our NIS partners, close collaboration is critical for our mutual success.

Over the year, USIC worked closely with the State Department to identify promising R&D projects completed by the Moscow and Kiev Science Centers with U.S. funding. This approach has great potential to become a major way to identify new prospects for commercialization by USIC's members.

Most recently, USIC has formed a strategic alliance with several key organizations. Through an exchange of memberships with the U.S.-Russia Business Council, USIC can now reach the entire span of U.S. business commercialization efforts in Russia, while USRBC in turn has access to the scientific and technical commercialization projects in Russia. We are in the process of forming a similar relationship with the Pennsylvania-Russia Business Council. A strategic relationship with the Uranium Institute in London was agreed to in September, and we have plans to join the Moscowbased American Chamber of Commerce in Russia in the year ahead.

Primary Partners on the IPP Team

Our closest relationship remains with the Department of Energy, where we work day-in and day-out to make the IPP program a success. The DOE plays an indispensable role in ensuring that proposed IPP projects are consistent with the nonproliferation goals of the United States. It also makes it possible for our member companies to more easily conform to U.S. export control and dual-use regulations. The huge success of this past year would not have been possible without our strong partnership with DOE and the hard work of the DOE Defense Nuclear Nonproliferation personnel.

A major partner on the IPP team is the Inter-Laboratory Board (ILAB), composed of DOE's national laboratories and the Kansas City Plant. USIC works closely with the ILAB representatives on all aspects of IPP project development and technology commercialization. During the past year, USIC staff visited Sandia National Laboratories, Lawrence Livermore Laboratory, Brookhaven National Laboratory and the Kansas City Plant; our goal is to visit all the laboratories by the end of this next year.

Politics and the Future for USIC-IPP

As we look forward to next year, we must carefully watch the new President and Duma in the Russian Federation. Russian President Vladimir Putin has shown a strong interest in strengthening the Russian economy, particularly in high technology areas. In his strategic mission statement for the Russian government issued earlier this year, President Putin stressed the need for a strong Russian economy that includes a reform strategy along the following lines:

- Stimulate growth through investment by both the market and the state (i.e. Russia must do all it can to attract foreign investors);
- Develop an active industrial policy based on placing priority on high technology, science-based industries.

President Putin also noted the need to create an efficient financial system. To achieve this, he must improve Russia's budget efficiency, introduce tax reform, strive for low inflation and ruble stability, create "civilized" financial and stock markets, and restructure the banking system.

This is an ambitious agenda. It is too early to determine whether he will succeed in revitalizing the Russian economy through these measures. The signs thus far are mixed. Doing business in Russia is still difficult. Access to the closed cities — where much of the technical talent vital to new high tech industries is located — continues to be a problem. Attempts to tax assistance from U.S. government programs has made it increasingly difficult for U.S. politicians to support such aid programs.

Another unknown for the next year will be the influence of a new U.S. President on our relationship with Russia. It can be expected that President Putin and the next U.S. President will seek to strike a constructive relationship — but this will not be achieved without some difficulty. There are unresolved and contentious issues that stand in the way of close cooperation. In this regard, success in USIC's mission over the next year may depend as much on issues extraneous to its mission — such as National Missile Defense and NATO expansion — than on the intense efforts of all those involved in the IPP program to succeed. My recommendation is to keep watch over the unfolding political situation and do all that is possible to build on this year's accomplishments and to continue moving forward to commercialize Russian science. In the end, I believe we shall succeed.

Appreciation and Thanks

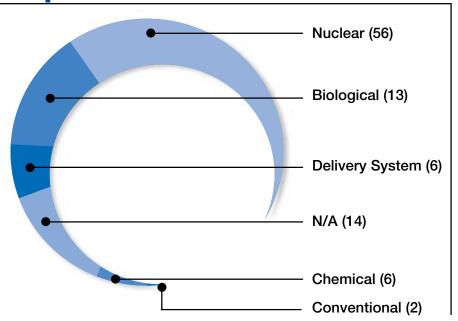
As my first year as President and CEO of USIC comes to a close, I wish to applaud the many men and women who have made possible the successes of this past year:

- the officials at DOE,
- the many scientists from our national laboratories,
- our colleagues from CRDF,
- the executives and entrepreneurs from our member companies who have done so much to beat former Soviet swords into plowshares,
- the weapons scientists from the former Soviet Union who seek a new way of life,
- the members of the USIC Board of Directors, who generously offer their time and expertise to help steer our course,
- and, not least of all, the small staff of USIC, who have shown such commitment to the important goals of its nonproliferation mission.

To all, I wish continued success and prosperity.

Victor E. Alessi, Ph.D. President & CEO October 2000

Member Projects by Nonproliferation Area



USIC Member Locations



Financial Statements

STATEMENT OF ACTIVITIES

	8/31/2000 * 9/30/1999 # 11-mos. ended 3-mos. ended		6/30/1999 # Year ended					
Change in unrestricted new assets:								
Revenues and support:								
Government grants	508,939	115,980	332,755					
Membership dues	217,700	30,076	82,704					
Interest and other income	8,715	1,939	7,473					
In-kind contribution	-	-	23,580					
Total revenues and support	\$735,354	\$147,995	\$446,512					
Expenditures:								
Department of Energy grant	442,016	115,980	332,755					
Membership expenses	88,464	4,500	26,496					
Management & general	155,467	11,679	96,326					
Total expenditures	\$685,947	\$132,159	\$455,577					
Changes in net assets	49,406	15,836	(9,065)					
Net assets at beginning of period	\$206,453	\$190,617	\$199,682					
Net assets at ending of period	\$255,859	\$206,453	\$190,617					

^{*} Statements as of 8-00 have not been audited

[#] In Oct. 1999, the USIC Board of Directors voted to change the FY from July-June to Oct-Sept. Copies of the complete audit for June 1999 and September 1999 may be obtained from the USIC office.

Financial Statements

SCHEDULES OF FUNCTIONAL EXPENSES

11-Mos. Ended Aug. 31, 2000 *	DOE Grant	Mbrshp	Mgmt/Gen'l	Total
Personnel ##	229,088	83,543	121,958	434,589
Rent	39,889	-	121,000	39,889
Travel	50,898	2,540	15,209	68,647
Meeting and meals	14,008	342	8,211	22,561
Accounting	44,382	225	-	44,607
Legal fees	14,799	68	120	14,987
Telephone	12,305	179	105	12,589
Equipment rental	6,421	-	-	6,421
Insurance	9,595	_	6,875	16,470
Office equipment and supplies	7,194	755	247	8,196
Postage and delivery	2,623	-	52	2,675
Printing and reproduction	9,945	-	226	10,171
Bank fees and other expenses	869	812	2,465	4,146
In-kind expense				·
Total	\$442,016	\$88,464	\$155,468	\$685,948
3-Mos. Ended Sept. 30, 1999 #	DOE Grant	Mbrshp	Mgmt/Gen'l	Total
Personnel ##	76,305	4,500	-	80,805
Rent	14,835	-	_	14,835
Travel	4,193	_	4,513	8,706
Meeting and meals	-	_	6,697	6,697
Accounting	6,627	_	-	6,627
Legal fees	5,260	_	-	5,260
Telephone	2,892	-	413	3,305
Equipment rental	1,683	-	-	1,683
Insurance	1,678	-	-	1,678
Office equipment and supplies	1,665	-	-	1,665
Postage and delivery	634	-	-	634
Printing and reproduction	208	-	-	208
Bank fees and other expenses	-	-	56	56
In-kind expense	_	_	<u>-</u>	_
Total	\$115,980	\$4,500	\$11,679	\$132,159
Year Ended June 30, 1999 #	DOE Grant	Mbrshp	Mgmt/Gen'l	Total
Personnel ##	262,014	22,087	29,012	313,113
Rent	13,226	-	6,291	19,157
Travel	10,595	3,945	5,741	20,281
Meeting and meals	967	-	1,415	2,382
Accounting	3,238		16,447	19,685
Legal fees	979		6,383	7,362
Telephone	3,345	329	688	4,362
Equipment rental	1,683	-	-	1,683
Insurance	-		6,020	6,020
Office equipment and supplies	36,580	135	352	37,067
Postage and delivery	128	-	75	203
Printing and reproduction	-	-	-	-
Bank fees and other expenses	-	-	322	322
In-kind expense		-	23,580	23,580
Total	\$332,755	\$26,496	\$96,326	\$455,577

^{*} Statements as of 8-00 have not been audited

[#] In Oct. 1999, the USIC Board of Directors voted to change the FY from July-June to Oct-Sept. Copies of the complete audit for June 1999 and September 1999 may be obtained from the USIC office.

^{##} Personnel includes staff, consultants and temporary services.

USIC Board of Directors 1999-2000

CHAIR

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Business & Operations Manager Hamilton Sundstrand/United Technologies Corporation Windsor Locks, CT

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Yuri Yu. Gleba, Ph.D.

CEO

Icon Genetics, Inc. Princeton, NJ

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Director, Licensing & Intellectual Property

Agricultural Research Division

American Cyanamid

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Sanford, FL

James E. Thompson, Ph.D. Dean, College of Engineering University of Missouri - Columbia Columbia, MO

^{*} Non-Voting Members

USIC Member Roster

September 2000 • 97 members

ACSPECT CORPORATION, Reno, NV ADVANCED COMPOSITES STRUCTURES, Barnhart, MO AGRAQUEST INC., Davis, CA ALLIED SIGNAL AEROSPACE, Torrance, CA ALPHAMED, INC., Acton, MA AMERICAN CYANAMID CO., Princeton, NJ AMERICAN-RUSSIAN ENVRNMNTL SRVC, Dunedin, FL AQUILA TECHNOLOGIES GROUP, INC., Albuquerque, NM ARGONIDE, INC., Sanford, FL ARKENOL, INC, Mission Viejo, CA ARMADA TECHNOLOGY PROVIDERS, Overland Park, KS AS&E HIGH ENERGY SYSTEMS, Santa Clara, CA ATLANTIC LOGISTICS INC., Collingswood, NJ ATLAS WEATHERING SERVICES GROUP, Miami, FL BEAM TECH CORPORATION, San Antonio, TX BIO-NUCLEONICS, Miami, FL BOEING, Huntington Beach, CA BP AMOCO, Naperville, IL BRYANT COLLEGE, Smithfield, RI BURLE INDUSTRIES, INC., Lancaster, PA CENTRA TECHNOLOGY, Burlington, MA CHEVRON CORPORATION, San Ramon, CA CONTEX INCORPORATED, Naples, FL CONTI GROUP COMPANIES, INC., Gainesville, GA CREDIT SUISSE FIRST BOSTON, New York, NY CYBER TECHNOLOGY GROUP, Wayne, PA CYCLOTEC MEDICAL INDUSTRIES, INC., Lauderhill, FL DEXALL BIOMEDICAL LABS, INC., Gaithersburg, MD DIVERSA CORPORATION, San Diego, CA DUPONT, Newark, DE DYE SEED RANCH, Pomeroy, WA EAGLE-PICHER INDUSTRIES, LLC, Quapaw, OK EARTH SEARCH SCIENCES INT'L, McCall, ID EDLOW INTER'L CORPORATION, Washington, DC ENERGY CONVERSION DEVICES, Troy, MI ENSIGN-BICKFORD COMPANY, Simsbury, CT EXCOM, INC., Hazlet, NJ EXXON MOBIL UPSTREAM RESEARCH CO., Houston, TX FELTON MEDICAL, INC., Lenexa, KS FENIX TECHNOLOGY INT'L INC., Washington, DC FLINT HILLS SCIENTIFIC, LLC, Lawrence, KS FRESENIUS MEDICAL CARE N.A., Lexington, MA FUELCELL ENERGY, INC., Danbury, CT GENERAL ATOMICS, San Diego, CA GENERAL ELECTRIC * Nuclear Energy, Wilmington, NC GLOBAL ONE, Reston, VA

HALLIBURTON ENERGY SERVICES, Alvarado, TX

INFORMED DIAGNOSTICS, INC., Sunnyvale, CA

ICON GENETICS, Princeton, NJ

INTERNATIONAL TECHNOLOGIES, Albuquerque, NM ISONICS CORPORATION, Closter, NJ LASEN INC, Las Cruces, NM MATERIALS & SYSTEMS RESEARCH, INC., Salt Lake City, UT MAVERIX, INC., Miami, FL MISSISSIPPI STATE UNIVERSITY, Starkville, MS NAC INTERNATIONAL, Norcross, GA NALCO EXXON ENERGY CHEMICALS, L.P., Sugar Land, TX NEW HORIZON DIAGNOSTIC CORP., Columbia, MD NEW HORIZON TECHNOLOGIES, INC., Richland, WA NUMOTECH, INC., Northridge, CA OAKTON INTERNATIONAL CORPORATION, Oakton, VA OHIO WILLOW WOOD CO., Mount Sterling, OH O-TECH INTERNATIONAL LTD, McLean, VA OVONIC, INC., Troy, MI PARATEK MICROWAVE, INC., Columbia, MD PERKIN-ELMER INSTRMNTS, ORTEC DIV., Oak Ridge, TN PHYGEN, INC., Minneapolis, MN PINNACLE TECHNOLOGY, INC., Lawrence, KS PULSE TECHNOLOGY SYSTEMS, INC, New York, NY RADIANT DETECTOR TECHNOLOGIES, LLC, Northridge, CA RADIATION MONITORING DEVICES, Watertown, MA RADKOWSKY THORIUM POWER CORP., Washington, DC RATON TECHNOLOGY RESEARCH INC, Raton, NM REDZONE ROBOTICS INC., Pittsburgh, PA REYNOLDS METALS COMPANY, Chester, VA RHODE ISLAND TECH. TRANSFER CTR., N. Kingston, RI SASS & SASS ANIMAL HEALTH, Kingston, TN SCIENTIFIC UTILIZATION, INC., Huntsville, AL SEATTLE ORTHOPEDIC GROUP, INC., Poulsbo, WA SPECTRA GASES, INC., Alpha, NJ STABLE EARTH TECHNOLOGY, Louisville, KY SWEET ANALYSIS SERVICES, INC., Alexandria, VA SYMETRIX INTERNATIONAL INC., Colorado Springs, CO SYNMATIX CORPORATION, Southfield, MI TCINTERNATIONAL, INC., Albuquerque, NM TEXACO GROUP, INC., Houston, TX TRACE PHOTONICS INC., Charleston, IL TRIOX TECHNOLOGIES, Murray, UT TSI RESEARCH, Solana Beach, CA UNITED SOLAR SYSTEMS CORP., Troy, MI U.S. - RUSSIA BUSINESS COUNCIL, Washington, DC UNITED TECHNOLOGIES CORP., Windsor Locks, CT UNIV. OF MISSOURI-COLUMBIA, Columbia, MO VIRTUAL PRO, San Ramon, CA WESTINGHOUSE ELECTRIC CORP., Pittsburgh, PA WHEELABRATOR ENVRNMENTL SYSTEMS, Anderson, CA

INTEL CORPORATION, Santa Clara, CA